

MAY 16 2006

FAX TRANSMISSION

DATE: May 16, 2006

PTO IDENTIFIER: Application Number 10/540618-Conf. #9016
Patent Number
Inventor: Graham REED et al.

MESSAGE TO: US Patent and Trademark Office

FAX NUMBER: (571) 273-8300

FROM: LAHIVE & COCKFIELD, LLP
Anthony A. Laurentano

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Attorney Dkt. #: FHW-142US

PAGES (Including Cover Sheet): 15

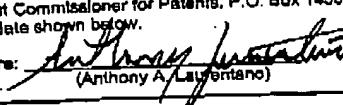
CONTENTS: Request for Corrected Filing Receipt (1 page)
Copy of Filing Receipt with Correction Noted (3 pages)
Courtesy Copy of Preliminary Amendment (6 pages)
Courtesy Copy of Application Data Sheet (3 pages)
Certificate of Transmission (1 page)

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Dated: May 16, 2006 Signature: 
(Anthony A. Laurentano)

MAY 16 2006

Docket No.: FHW-142US
(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:
Graham Reed *et al.*

Application No.: 10/540618

Confirmation No.: 9016

Filed: June 23, 2005

Art Unit: 2874

For: OPTICAL COUPLER

Examiner: Not Yet Assigned

REQUEST FOR CORRECTED FILING RECEIPTCommissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

Applicant hereby requests that a corrected Filing Receipt be issued in the above-identified patent application. The official Filing Receipt received by Applicant, a copy of which is attached hereto, has an error in the title. The title of the application was previously amended from

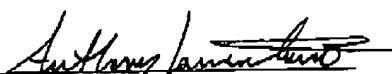
DUAL GRATING ASSISTED OPTICAL COUPLER to OPTICAL COUPLER as amended

A copy of the Official Filing Receipt is enclosed. The correction to the title is noted on the second page. Courtesy copies of both the First Preliminary Amendment and Application Data Sheet are also submitted in support of correction.

Applicant additionally requests that all pertinent U.S. Patent and Trademark Office records relating to the subject application be changed to reflect this correction.

Dated: May 16, 2006

Respectfully submitted,

By 
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UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
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APPL NO.	FILING OR 371 (C) DATE	ART UNIT	FIL FEE RECD	ATTY.DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/540,618	06/23/2005	2874	500	FHW-142US	7	22	1

CONFIRMATION NO. 9016

959
 LAHIVE & COCKFIELD
 28 STATE STREET
 BOSTON, MA 02109

FILING RECEIPT

 QC000000016003823

Date Mailed: 02/24/2006

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Graham Reed, Surrey, UNITED KINGDOM;
 Goran Masanovic, Surrey, UNITED KINGDOM;
 Vittorio Passaro, Surrey, UNITED KINGDOM;

Assignment For Published Patent Application

THE UNIVERSITY OF SURREY, Guildford, UNITED KINGDOM

Power of Attorney: The patent practitioners associated with Customer Number 959.

Domestic Priority data as claimed by applicant

This application is a 371 of PCT/GB03/05834 12/23/2003

Foreign Applications

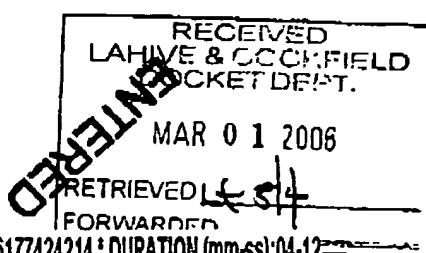
UNITED KINGDOM 0229732.3 12/23/2002

Projected Publication Date: To Be Determined - pending completion of Security Review

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **



Title

~~Dual grating assisted optical coupler~~ Optical Coupler

Preliminary Class

385

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Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an Inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an International application under the Patent Cooperation Treaty (PCT). An International (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process simplifies the filing of patent applications on the same invention in member countries, but does not result in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

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For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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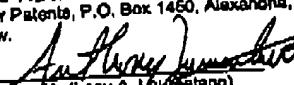
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Dated: 23 June 2006 Signature: 
(Anthony A. LaPertando)

MAY 16 2006

Docket No.: FHW-142US
(PATENT)

IN THE UNITED STATES PATENT OFFICE AS DESIGNATED OFFICE (DO/US)

In re Patent Application of:
Graham Reed *et al.*
International Application No.: PCT/GB2003/005634

International Filing Date: December 23, 2003

Application No.: NEW APPLICATION

Art Unit: N/A

Filed: CONCURRENTLY HEREWITH

Examiner: Not Yet Assigned

For: OPTICAL COUPLER (AS AMENDED)FIRST PRELIMINARY AMENDMENT

MS PCT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

INTRODUCTORY COMMENTS

Prior to examination on the merits, please amend the above-identified U.S. patent application as follows:

Amendments to the Specification begin on page 2 of this paper.

Amendments to the Claims are reflected in the listing of claims which begins on page 3 of this paper.

Remarks/Arguments begin on page 6 of this paper.

Application No.: NEW APPLICATION

Docket No.: FHW-142US

AMENDMENTS TO THE SPECIFICATIONIn the Specification:

Please amend the title as follows:

~~DUAL GRATING ASSISTED OPTICAL COUPLER~~

Page 1, line 2, after the title, please insert the following new paragraph:

Related Applications

This application is a 35 U.S.C. 371 national stage filing of International Application No. PCT/GB2003/005634, filed 23 December 2003, which claims priority to Great Britain Patent Application No. 0229732.3 filed on 23 December 2002 in Great Britain. The contents of the aforementioned applications are hereby incorporated by reference.

Application No.: NEW APPLICATION

Docket No.: FHW-142US

AMENDMENTS TO THE CLAIMS

Please amend claims 1-21 and add new claim 22 as follows:

1. (currently amended) An optical coupler comprising an input waveguide, an intermediate waveguide, an output waveguide, a first grating situated between the input and intermediate waveguides, and a second grating situated between the intermediate and output waveguides such that, in use, light propagating in the input waveguide is coupled into the intermediate waveguide with the assistance of the first grating, and ~~thence~~then is coupled into the output waveguide with the assistance of the second grating.
2. (currently amended) A coupler according to claim 1, further comprising only two said gratings.
3. (currently amended) A coupler according to claim 1 or claim 2, which is a directional coupler.
4. (currently amended) A coupler according to ~~any preceding~~ claim 1, in which wherein the input and output waveguides have differing refractive indices.
5. (currently amended) A coupler according to ~~any preceding~~ claim 1, in which wherein the input and output waveguides have at least one differing transverse dimension.
6. (currently amended) A coupler according to ~~any preceding~~ claim 1, in which wherein the intermediate waveguide has a different refractive index to that of the input waveguide, and/or or the output waveguide, or both.
7. (currently amended) A coupler according to claim 6, in which wherein the intermediate waveguide has a higher refractive index than that of the input waveguide and a lower refractive index than that of the output waveguide.

Application No.: NEW APPLICATION

Docket No.: FHW-142US

8. (currently amended) A coupler according to any preceding claim 1, in which wherein the intermediate waveguide has at least one different transverse dimension to that of the input waveguide, and/or or the output waveguide, or both.
9. (currently amended) A coupler according to any preceding claim 1, further comprising a first transitional layer situated between the input waveguide and the intermediate waveguide.
10. (currently amended) A coupler according to any preceding claim 1, further comprising a second transitional layer situated between the output waveguide and the intermediate waveguide.
11. (currently amended) A coupler according to any preceding claim 1, in which wherein the first and second gratings have differing periods, and/or or lengths, and/or or depths, and/or or profiles, and/or or duty cycles, or any combination thereof.
12. (currently amended) A coupler according to any preceding claim 1, comprising a layered structure, in which each waveguide, grating or transitional layer comprises a respective layer or part thereof, of the structure.
13. (currently amended) A coupler according to claim 12, in which the layered structure comprises one or more layers of semiconductor, and/or or dielectric material, or both.
14. (currently amended) A coupler according to claim 13, in which wherein the semiconductor material comprises one or more of: silicon or related compounds; gallium arsenide or related compounds; indium phosphide or related compounds; or lithium niobate or related compounds.

Application No.: NEW APPLICATION

Docket No.: FHW-142US

15. (currently amended) A coupler according to ~~any one of claims 12 to 14, in which claim 13, wherein~~ the dielectric material comprises a glass, ~~preferably a phosphosilicate glass.~~
16. (currently amended) A coupler according to ~~any preceding claim 1, in which~~wherein the waveguides comprise rib waveguides, ~~and/or or~~ planar waveguides, ~~and/or or~~ strip waveguides, ~~and/or or~~ embedded waveguides, ~~or any combination thereof.~~
17. (currently amended) An integrated optical device comprising an optical coupler according to ~~any preceding claim 1, in which~~wherein the input waveguide ~~and/or or~~ the output waveguide of the coupler comprises a semiconductor waveguide of the device.
18. (currently amended) A device according to claim 17, ~~in which~~wherein the semiconductor waveguide of the device comprises a semiconductor laser of the device.
19. (currently amended) A device according to claim 17, ~~in which~~wherein the semiconductor waveguide of the device comprises a photodiode of the device.
20. (currently amended) The use of an optical coupler or device according to ~~any preceding claim 1, to couple light between an external first~~ waveguide and the output waveguide of the coupler, via the input waveguide of the coupler.
21. (currently amended) The use according to claim 20, ~~in which~~wherein the external first waveguide comprises an optical fibre.
22. (new) A coupler according to claim 10, further comprising a second transitional layer disposed between the output waveguide and the intermediate waveguide.

Application No.: NEW APPLICATION

Docket No.: FHW-142US

REMARKS

Preliminary to examination of this application, please amend claims 1-21 and add new claim 22 as set forth above. Applicants amend the claims to remove multiple dependencies, provide proper antecedent basis, and to address other matters of form. The foregoing amendments are not related to issues of patentability. Support for the amendments to the claims can be found throughout the specification, Figures and claims as originally filed.

Applicants respectfully submit that the foregoing amendments introduce no new matter. Entry of the foregoing Preliminary Amendment is in order and requested.

If there are any questions regarding the proposed amendments to the application, we invite the Examiner to call Applicant's representative at the telephone number below.

Applicant believes no fee is due with this statement. However, if a fee is due, please charge our Deposit Account No. 12-0080, under Order No. FHW-142US from which the undersigned is authorized to draw.

Dated: 23 June 2005

Respectfully submitted,

By 
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Country of mailing address:: United Kingdom
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Correspondence Information

Correspondence Customer Number:: 00959

Representative Information

Representative Customer Number:: 00959

Domestic Priority Information

Application::	Continuity Type::	Parent Application::	Parent Filing Date::
This Application	National Stage of 34	PCT/GB2003/0056	12/23/03

Foreign Priority Information

Country::	Application number::	Filing Date::	Priority Claimed::
United Kingdom	0229732.3	12/23/02	Yes

Assignee Information

THE UNIVERSITY OF SURREY

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Guldford

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United Kingdom

City of mailing address::

GU2 7XH

Country of mailing address::

Postal or Zip Code of mailing address::

Initial 06/23/05

Page # 3

Application Data Sheet**Application Information**

Application Type::	Regular
Subject Matter::	Utility
Suggested Group Art Unit::	N/A
CD-ROM or CD-R?::	None
Sequence submission?::	None
Computer Readable Form (CRF)?::	No
Title::	OPTICAL COUPLER
Attorney Docket Number::	FHW-142US
Request for Early Publication?::	No
Request for Non-Publication?::	No
Small Entity?::	Yes
Petition included?::	No
Secrecy Order in Parent Appl.?::	No

Applicant Information

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City of mailing address::	Gulldford
Country of mailing address::	United Kingdom
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PTO/SB/07 (08-04)

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Application No. (If known): 10/540618

Attorney Docket No.: FHW-142US

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on May 16, 2006
Date


Signature

Anthony A. Laurentano

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38,220
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